UTAH DEPARTMENT OF TRANSPORTATION

REQUEST FOR QUALIFICATIONS

DESIGN-BUILD TRAFFIC SIGNALS: POOL FOR PREQUALIFIED TEAMS

EFFECTIVE TERM OF POOL: APRIL 8, 2004 TO MARCH 30, 2006

Issue Date: March 2, 2004

SCHEDULE (subject to change)					
Issue Request for Qualifications	March 2, 2004				
Non-mandatory Meeting regarding RFQ process	3:00PM, March 9, 2004				
Requests for clarifications to the RFQ (not later than)	5:00PM, March 10, 2004				
Addendum to RFQ (if needed, no later than)	March 16, 2004				
Statements of Qualifications Due, not later than	4:00 PM, March 23, 2004				
Notify Short-listed firms	April 7, 2004				
Debriefing of firms not selected	April 8, 2004				
Issue RFP	Project-by-project basis				
Proposals Due	Project-by-project basis				
Award Contract	Project-by-project basis				
Notice to Proceed	Project-by-project basis				

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NOTICE TO CONTRACTORS AND DESIGNERS

DESIGN-BUILD RFQ REQUEST FOR STATEMENTS OF QUALIFICATIONS

The Utah Department of Transportation seeks the services of qualified DESIGN-BUILD TEAMS to design, construct, survey, perform right-of-way services, and provide other services under DESIGN-BUILD contracts. Through the Request for Qualifications process, UDOT will create a pool of the best-qualified Traffic Signal DESIGN-BUILDERS that will be eligible to submit Proposals on those traffic signal projects procured through the DESIGN-BUILD process from April 8, 2004 to March 30, 2006. A DESIGN-BUILD TEAM for a given project will be selected using a best value selection process.

If you are interested in submitting a Statement of Qualifications, **the Request for Qualifications will be available March 2, 2004**, and may be obtained from the UDOT Home Page Bid Opening Information Table on the Internet at: www.udot.utah.gov/index.php/tid=317, or by calling Larry Myers at (801) 965-4612.

A non-mandatory meeting for DESIGN-BUILD TEAMS interested in submitting statements of qualifications will be held at 3:00 PM, Tuesday March 9, 2004, in the Fourth Floor Project Development Conference Room at the UDOT Calvin Rampton Complex, 4501 South 2700 West, Salt Lake City, Utah. For information call Larry Myers at (801) 965-4612.

<u>The deadline for submitting Statement of Qualifications is 4:00 PM on Tuesday, March</u> <u>23, 2004</u>. Deliver all Statement of Qualifications to: The Construction Desk, 4th Floor, Utah Department of Transportation, 4501 South 2700 West, Salt Lake City, Utah 84114-8490.

The Utah Department of Transportation, being an equal opportunity employer, suggests that qualified DBE's and WBE's consider this notice.

Dated this 2nd day of March 2004. Utah Department of Transportation John Njord, P.E. Executive Director

Chapter 1 General

1.0 Security

All information submitted will be considered confidential and proprietary and will be treated accordingly. Strict security measures will be taken to guarantee the confidentiality and security of all SOQs submitted to UDOT. During the review process, no access to any SOQ will be granted to any person except UDOT employees who are specifically authorized by the Department. Once the Traffic Signal DESIGN-BUILD pool is established, the SOQ will be open to public scrutiny as defined by state law.

1.1 Ownership and Retention

One copy of the SOQ from each DESIGN-BUILD TEAM will be retained in the UDOT project files. All other copies will be destroyed.

1.2 Partnering with UDOT Project Team

UDOT encourages active partnering during the course of all projects. UDOT believes that partnering facilitates attainment of its goals and the goals of the DESIGN-BUILD TEAM and other stakeholders, and fosters the trust, commitment, cooperation, and synergy necessary for successful completion of the projects.

1.3 Precedence of RFP Information

The information presented in this RFQ package reflects the current state of project development and current thoughts of how a design-build traffic signal project Request for Proposal (RFP) is likely to proceed. Once an RFP has been issued, DESIGN-BUILDERS should rely completely on the information in the RFP. The RFP will be part of the contract. The RFQ will not be part of the contract except to the extent that it is incorporated by the RFP.

1.4 Applicable Federal and State Regulations

The DESIGN-BUILD TEAM shall conform to all applicable state and federal regulations, including Title VI of the Civil Rights Act of 1964, and recognized industry, safety, environmental, and design standards.

1.5 Department Reservations

In the event that a team submitting an SOQ has failed to pay UDOT monies due to the Department for over-payment on past projects, UDOT has the right to reject or disqualify the team's SOQ. Disqualification will be based on audit findings, determinations, and recommendations made by the Department's authorized agent.

1.6 Addenda

The Department will issue written addenda to this RFQ as needed. Any addenda will be posted to the UDOT website. It is the responsibility of each DESIGN BUILD TEAM to verify whether addenda have been issued, to download from the UDOT website any addenda, and to acknowledge receipt of addenda.

<u>Chapter 2</u> Design-build Procurement Process Overview

2.0 Two Phase Procurement Process

A two-phase procurement process will be used to select DESIGN-BUILD TEAM for specific traffic signal projects. This RFQ is the first phase. Based on Statements of Qualifications (SOQs) received, UDOT will short-list a maximum of the eight qualified DESIGN-BUILD TEAMS. Short-listed DESIGN-BUILD TEAMS will be placed in the traffic signal design-build pool for two years.

Phase Two is initiated when a project is identified during the period of time the pool is active. All DESIGN-BUILD TEAMS in the pool will receive Request for Proposals. Proposals will not be accepted from entities not in the pool. Phase Two includes the submittal and review of Proposals for final selection. Final selection will be based on "best value" to the Department, considering price and other factors.

Placing DESIGN-BUILD TEAMS in the pool and selecting a DESIGN-BUILD TEAM for a given project will be based on information submitted in the SOQ's and Proposals and on information otherwise available to the Department. The Department's decisions in the selection process will be final and protests will not be accepted.

OVERVIEW OF THE DESIGN-BUILD TRAFFIC SIGNAL PROCESS

- 1. UDOT will procure traffic signal projects using a design-build contract to minimize the time between when a traffic signal is warranted and when it is functional.
- 2. UDOT will develop a pool of qualified traffic signal design-build teams. The pool will be active from April 8, 2004 to March 30, 2006. UDOT reserves the right to cancel the pool at any time.
- 3. When a traffic signal is warranted at a particular location, UDOT will prepare all of the necessary environmental documents, perform a minimal amount of right-of-way work, and generate a channelization plan, an existing right-of -way plan, and other project specific requirements.
- 4. The channelization plan, right-of-way plan, and narrative describing other project specific needs will be provided in the RFP for a specific project.
- 5. The completed RFP will be sent out to the Design-build Teams in the pool.
- 6. A minimal period of not more than 2 weeks will be allowed for proposal preparation.
- 7. The proposal will consist of a price proposal, and brief technical proposal.
- 8. Evaluation of proposals will be based on best value to the Department. Specific evaluation criteria will be defined in each proposal.

Chapter 3 RFQ/SOQ Process

The objective of the RFQ phase of the procurement is to create a pool of not more than six teams with the capability to successfully design, construct and manage all aspects of a project.

3.0 Rules Applying to Submittal of SOQ

3.0.1 Ability of DESIGN-BUILD TEAMS

Only prospective DESIGN-BUILD TEAMS who are capable of completing a Project in its entirety may submit SOQs.

3.0.2 Restrictions on Teaming

A RESTRICTED PARTICIPANT (see definitions) may belong to only one DESIGN-BUILD TEAM. Any deviation from this limitation will result in disqualification of all proposing DESIGN-BUILD TEAMS where the "duplicate" firms (or affiliates) appear.

The CONSRUCTION INDEPENDENT QUALITY FIRM and the DESIGN INDEPENDENT QUALITY FIRM must be completely independent of any participant on its team who provides materials or performs construction.

Any firm that assists the DEPARTMENT in the preparation of an RFP document will not be allowed to participate as an offerer or join a team submitting a proposal in response to that RFP.

3.0.3 DESIGN-BUILD TEAM Continuity

It is the desire of the Department that DESIGN-BUILD TEAM organizations - including RESTRICTED PARTICIPANTS, subcontractors and key personnel - established for the SOQ assessment, remain intact for the duration of the pool period. Requests for changes must be made in writing. Approval of requests for changes will not be automatic and will only be approved if it is determined by the Department that the change does not diminish the DESIGN-BUILD TEAM's ability to perform the required work and does not create a potential conflict of interest.

3.1 Inquires and Clarifications Requested by DESIGN-BUILD TEAMS

DESIGN-BUILD TEAMS may request clarification of the requirements contained in this RFQ by delivering or faxing written requests to the UDOT Innovative Contracting Engineer at the address listed below:

Larry Myers Utah Department of Transportation 4501 South 2700 West, 4th Floor Salt Lake City, UT 84114-8415 Fax Number 801-965-4564 Phone (801) 965-4612

Requests for clarification will not be accepted after the date and time indicated on the cover page of this RFQ. No requests for additional information or clarification may be directed to any other UDOT employee. No requests for information or clarification will be accepted by telephone.

Requests must come through the single point of contact for each DESIGN-BUILD TEAM, and include the following information: the representative's name, address, telephone and fax numbers, e-mail address, the DESIGN-BUILD TEAM's organization he/she represents, the name of the representative's employer, and a statement of whether the employer is a, RESTRICTED PARTICIPANT or Guarantor for the DESIGN-BUILD TEAM's organization.

3.2 Department Requests for Clarification of SOQ Information

It is the responsibility of the DESIGN-BUILDER to provide accurate and complete information to the Department. The Department may, at its sole discretion, request clarifications or supplemental information from the DESIGN-BUILDER during the SOQ evaluation.

The Department may waive technical irregularities in the SOQ of a DESIGN-BUILD TEAM that do not alter the quality or quantity of the services offered.

All Department requests will be in writing and sent by fax. Such requests will be addressed to the designated Single Point of Contact for each DESIGN-BUILD TEAM. A return fax number will be provided with the Department's request. Responses shall be limited to answering the specific information requested by the Department.

3.3 Submittal of Qualifications and Acknowledgments

Each DESIGN-BUILD TEAM shall submit their original Statement of Qualifications and three copies (including acknowledgement of all addenda using the acknowledgment form provided in Appendix A) to:

Construction Desk Utah Department of Transportation, 4th Floor 4501 South 2700 West Salt Lake City, Utah 84114-8490

If any acknowledgment or SOQ is not received by 4:00 PM on March 9, 2004, the DESIGN-BUILD TEAM's SOQ will not be considered or evaluated. DESIGN-BUILD TEAMS shall be responsible for obtaining a written receipt appropriate to the means of delivery from the Department office specified above, at time of delivery of their SOQ.

3.4 Determination of the Prequalified Pool

The Department will establish a pool of the eight (8) highest qualified DESIGN-BUILD TEAMS using the following procedure. (1) SOQ's will be evaluated using the procedure described in Chapters 6 and 7 of this RFQ. (2) DESIGN-BUILD TEAMS receiving a rating of "Fail" in any of the Pass/Fail categories will be eliminated. (3) DESIGN-BUILD TEAMS receiving a rating below the "minimum acceptable score" in any rated category will be eliminated. (4) Teams not eliminated will be deemed "Qualified". (5) If six or fewer teams are deemed "Qualified", all such teams will be short-listed. (6) If more than six teams are deemed "Qualified", the six teams with the highest score will be chosen for the pool.

3.5 Notification of Selection for the Prequalified Pool

Upon completion of the evaluation and selection process, the list of DESIGN-BUILD TEAMS selected for the pool will be transmitted to all DESIGN-BUILD TEAMS that submitted SOQs. Each DESIGN-BUILD TEAM in the pool will receive RFPs for all traffic signal projects procured using design-build during the effective time of the pool. Proposal will NOT be accepted from any DESIGN-BUILD TEAM not in the pool.

<u>Chapter 4</u> Project Information/Scope of Work

4.1 Conceptual Design

The RFP package for each signal project will include the Conceptual Design for the project. It is anticipated that this will include a channelization plan, existing Right of Way plans, and a narrative of project specific requirements.

4.2 Project Scope

The following general project scope is provided to prospective DESIGN-BUILD TEAMS to assist in developing a team with the expertise that may be required for the variety of project requirements that may be encountered during the life of the pool. The Design-builder will be responsible for design, construction, and warranty of the project. The final design documents shall be completed in English units using Bentley "In-Roads" version 8.4 and Bentley "MicroStation" version 8.1 CADD products. The design and construction by the design-builder shall be done in accordance with applicable UDOT guidelines and standards as described in an RFP. The intent is to permit flexibility in design and construction to accommodate processes, procedures, and innovative techniques that are preferred by the design-builder, as long as they are consistent with site conditions, good engineering practice, context sensitive solutions, and other standards, guidelines, and procedures identified in the RFP. The scope of work below may or may not reflect the final scope of work in a particular RFP.

4.2.1 Management

The DESIGN-BUILDER shall manage all aspects of the design, construction, and other required activities included in the final scope of work contained in the RFP.

4.2.2 Roadway

The project may include asphalt paving, curb, gutter, sidewalk, pedestrian ramps, and other work. The DESIGN-BUILDER is responsible for final horizontal and vertical alignments, earthwork (excavation and embankment), super elevations, transitions, etc., as normally expected for traffic signal street and sidewalk construction.

4.2.3 Geotechnical

UDOT will do no geotechnical investigation. Limited boring logs and information will be provided when it is available, however, no analysis of the data will be provided. If deemed necessary, the DESIGN-BUILD TEAMS may conduct additional investigation and testing to develop the Proposal Price. The Design-builder will be responsible for doing all necessary investigation, testing, and design for slope stability and foundation design, in accordance with UDOT standards and Manuals of Instruction.

4.2.4 Drainage

The design-builder will evaluate hydrology and develop drainage requirements in accordance with UDOT's Manual of Instruction. Construction of drainage facilities including ditches, catch basins, pipe, and other work may be required.

4.2.5 Pavement

UDOT will design all pavements. This information will be included in the RFP.

4.2.6 Maintenance of Traffic

The DESIGN-BUILDER shall provide construction traffic control in accordance with the UDOT standard drawings. An engineer licensed in the State of Utah must sign and seal all Maintenance of Traffic (MOT drawings. The MOT plans will need to be closely coordinated with Community Relations activities.

4.2.7 Signing and Traffic Marking

The DESIGN-BUILDER will develop signing requirements for the project. All traffic markings and materials will be required to meet the current UDOT standards.

4.2.8 Lighting

The project may include intersection lighting.

4.2.9 Signals and ATMS

The project will include traffic signals and associated traffic control devices. Fiber optic cable, cameras, and integration of ATMS systems may be required.

4.2.10 Utilities

It is anticipated that utility risk will be shared between UDOT and the Design-builder. The precise allocation of risk will be defined in the RFP. Known utilities along a project will be identified at a mandatory pre-Proposal meeting at the project site. DESIGN-BUILDERS will be expected to bear the expense of relocating utilities that are identified at this meeting if required by their design. The DESIGN BUILDER will not be expected to bear the risk for utilities not identified, or for those that are located incorrectly. The DESIGN-BUILD TEAM will include the relocation schedule into the project schedule. Actual construction or relocation of utilities will be accomplished by a combination of the Design-builder and independent contractors working on behalf of the utilities.

The DESIGN-BUILDER shall be responsible for coordinating design and construction activities with utility companies and agencies along the corridor. The degree of coordination may vary from one utility to another, depending on the Design-builder involvement in the design and construction of utility relocations. It is anticipated that the Design-builder will develop all of the Utility Agreements for UDOT.

4.2.11 Right of Way

The final project Right of Way limits will not be identified by UDOT in the RFP. The Design-builder, with review by the UDOT ROW division, will be required to develop easements, rights of entry, plans, deeds, and documents based on the final design. It is the intent of UDOT that the Project will be limited to the ROW limits established for the Project in the environmental document. Additional acquisition of ROW outside the environmental document limits will require a reevaluation of the environmental document by the Designbuilder.

The DESIGN-BUILDER, with review by the UDOT ROW division, will appraise, offer, negotiate, and acquire property. UDOT will provide condemnation actions with support from the Design-builder. The Design-builder will be required to accept all schedule constraints for ROW up to Condemnation. The RFP will identify additional schedule constraints for the Design-builder in association with the condemnation procedure. UDOT will accept schedule risk beyond the identified constraints to the extent delays affect the critical path.

The ROW plans must be signed and sealed by a State of Utah Professional Land Surveyor. An individual or company listed on UDOT's Consultant Pool for four types of Right-of-Way Services (http://www.udot.utah.gov/esd/ConsultantServices/Pools/rowpool.html) list must do appraisal, negotiation, acquisition and relocation. In the event the Design-builder requests to use a national full service R/W firm, an individual or company from the UDOT list must review and sign off on all appraisals, negotiations, acquisitions, and relocations.

4.2.12 Survey

The DESIGN-BUILDER will conduct all quality control and quality acceptance survey activities. The DESIGN-BUILDER will construct or reconstruct all monuments and ROW markers according to UDOT's specifications and in accordance with UDOT procedures. The Design-builder shall also be responsible for all surveying necessary for the control of all construction activities required by an RFP.

4.2.13 Public Involvement

The DESIGN-BUILD TEAM will provide continuous and proactive public involvement i upon receiving Notice to Proceed (NTP). The DESIGN-BUILD TEAM will:

- Involve all stakeholders in the final design process.
- Ensure that the final design will be compatible with the community's values including but not limited to such items as aesthetics, pole design, landscaping, and lighting. The DESIGN-BUILD TEAM may be required to seek public acceptance of final design.
- Perform community coordination during construction.
- Work and coordinate with stakeholders directly impacted by construction.
- Create a *Maintenance of Traffic* plan and seek acceptance from stakeholders on the traffic control plan prior to implementing the plan.

4.2.14 Environmental

UDOT will conduct all environmental evaluations through completion of the decision document. The Design-builder ensures that all environmental mitigation requirements identified in the project environmental decision document are met. The Design-builder shall obtain permits associated with the construction, including but not limited to water quality, storm water discharge, and storm water pollution prevention. The Design-builder shall perform any re-evaluation of the environmental decision document for work that exceeds the impacts identified within the environmental decision document.

4.2.15 Quality

The DESIGN-BUILDER shall perform all quality control activities for design and construction. The DESIGN-BUILDER may be required to hire an independent quality firm (IQF) for the quality assurance of design and/or construction activities. UDOT will perform all acceptance and quality verification activities.

4.3 Federal Requirements

The Projects are likely to be State funded.

4.4 Incentives and Disincentives

UDOT is examining incentive and disincentive options for Design-builder performance that is greater than required or less than acceptable in areas such as safety, quality, schedule, and community relations. In an effort to minimize traffic delays and to provide an incentive to the DESIGN-BUILDER for minimizing lane closures, lane rental or A+B Bidding may be used. The final decision regarding these issues will be identified in each RFP.

4.5 Stipends

Stipends will not be provided for submittal of Statements of Qualifications. UDOT may pay a stipend to those DESIGN-BUILD TEAMS that submit a responsive and responsible Proposal in response to a RFP. The amount and details of the stipend will be identified in each RFP. If a stipend is paid, UDOT will own the intellectual property in those proposals and will be able to use the ideas contained therein on this project and any other UDOT projects.

4.6 Owner Controlled Insurance Program

The projects are not expected to use an Owner Controlled Insurance Program (OCIP).

4.7 Warranty

The warranty is expected to be 2 years on all work and materials not performed or provided by the Department.

<u>Chapter 5</u> Required Format of SOQ

5.0 General

SOQ's shall be formatted as shown in Chapters 5 and 7 of this RFQ. Mandatory Forms are provided in Appendix A for most of the required information. Additional copies of the forms in Appendix A shall be made to meet the requirements of Chapter 7. No change should be made to these forms. In response to questions where no form has been provided, the format should meet the requirements of Chapter 5 and 7 including the page limit requirements.

5.1 Formats and Presentation

- Quantity. One original and three copies of the SOQ shall be submitted.
- Language. All information shall be in English.
- **Medium.** The SOQ shall be printed in hard-copy form. No electronic files will be accepted.
- **Type Font.** All narrative text shall be in a type font that is a regular Times Roman style and a minimum of twelve points in size, and single-spaced. The type style and size of headings and figures are not prescribed. All text shall be in black and white.
- **Photos.** No photos will be allowed.
- **Pages.** Pages shall be 8-1/2 by 11 inch white paper. Pages shall be printed on one side only.
- **Page Margins.** No text, tables, figures, or other <u>substantive</u> content generated by the DESIGN-BUILD TEAM may be printed within 0.75 inch of any page edge.
- **Page Numbering**. Every page shall be numbered consecutively, 1, 2, 3, , ... 23, 24, 25, The first piece of paper inside the binder shall be page one. Dividers shall be page numbered. Do not restart numbering within each section, i.e., DO NOT use 1-1, 1-2...; 2-1, 2-2...; etc.
- Page Limit. The number of pages of the SOQ are limited by the forms and page limits established for the evaluation factor and will vary according to the number of participants on any DESIGN BUILD TEAM. DESIGN BUILD TEAMS shall submit only the information required by this RFQ. No other information will be considered in the evaluation of the SOQs.
- **Dividers.** Section and appendix dividers shall contain only the section number or appendix letter, plus title and page number, but no other text or graphics.
- **Binding.** Each copy of the SOQ shall be bound in one three-ring binder. The contents of each binder shall be clearly identified on the front cover and spine by DESIGN-BUILD TEAM name. The front cover of each binder shall also include the following: "Statement of Qualifications: UDOT Pool for Prequalified Traffic Signal Design-builders". Each binder shall be numbered sequentially, one through four, in the upper right hand corner. The use of color graphics on the cover of the binder is optional.

<u>Chapter 6</u> Scoring and Evaluation of SOQ

6.0 Evaluation Factors for the RFQ/SOQ

This section outlines the scoring methodology for the RFQ phase of the procurement. Evaluations will be based on how well the SOQ responds to the requirements described in Chapter 7. If the information provided is not complete, the DESIGN-BUILD TEAM may be eliminated from further consideration.

The evaluation factors are divided into two types, "Pass/Fail" and "Ranked". Determination of the Pass/Fail and Ranked ratings for each evaluation factor is described below.

6.0.1 Pass/Fail Evaluation Factors

The Pass/Fail evaluation factors are:

Section 1: Cover letter

Section 2: Legal

Section 3: Financial

Section 7: Acknowledgements

If a DESIGN-BUILD TEAM receives a passing score on all Pass/Fail evaluation factors, its SOQ will be further evaluated using the ranked criteria.

6.0.2 Ranked Evaluation Factors

The ranked evaluation factors are:

Section 4: Corporate Experience

Section 5: Corporate Performance

Section 6: Personnel

Numerical scores will be assigned by a UDOT Evaluation committee to each ranked evaluation factor in accordance with how well the SOQ responds to the requirements described in Chapter 7 of this RFQ, as well as on information otherwise available to the Department. The scores of the individual members of the UDOT Evaluation Committee will be averaged and rounded to the nearest tenth of a point.

Each ranked evaluation factor and ranked sub-evaluation factor has a minimum acceptable score. DESIGN-BUILD TEAMS that receive a score on any ranked evaluation factor (or on any sub-evaluation factor) below the "minimum acceptable score" will not be eligible for the SHORT-LIST.

Table 6.1 tabulates the minimum possible score, minimum acceptable score, and maximum possible score for all evaluation factors and sub-evaluation factors.

Table 6.1

1 able 6.1		T		
		Minimum Possible	Minimum Acceptable	Maximum Possible
1 COVER LETTER	SCORE	Score	Score	Score
Name, address, phone, fax of single POC				P/F
Signed by authorized rep				P/F
Certification that info in SOQ is true and correct				P/F
If not yet a JV etc, signed by all PP's				P/F
2LEGAL				
Form L Complete				P/F
Notarized POA regarding signature authority				P/F
Notarized POA regarding POC signature authority				P/F
IF JV or Partnership: Legal details				P/F
IF JV or Partnership: agreement of joint and several liability				P/F
3 FINANCIAL				
Bonding letter(s)				P/F
4CORPORATE EXPERIENCE				
Form CE Complete for all required firms				P/F
Experience in Design of Traffic Signal Projects		0	8	15
Experience in Construction of Traffic Signal Projects		0	8	15
Experience with Design-build Contracts		0	0	5
5 CORPORATE PERFORMANCE				
Awards		0	0	3
Liquidated Damages		0	8	5
Termination		0	3	5
Disciplinary Action		0	3	5
Form PP-1 Complete		Ů		P/F
Form PP-2 Complete				P/F
Form S Complete				P/F
Safety Rating		0	3	5
6PERSONNEL			3	
Org Chart Complete				P/F
Personnel Matrix Complete (form PM)				P/F
All required Résumé's included (Form R)				P/F
Project Manager		0	4	8
Construction Manager		0	4	8
Signal/Electrical Construction Manager		0	3	6
Signal/Electrical Construction Manager Signal/Electrical Design Manager		0	3	6
Civil Design Manager		0	3	6
Construction IQF Manager		0		2
Design IQF Manager Design IQF Manager		0	1	2
			2	
Community and Public Involvement and CSS Manager Utilities Manager		0		3
ž		0	1	3
Right of Way Manager		0	1	3
7ACKNOWLEDGMENTS				D/E
Form AF Complete				P/F
TOTAL				100

Chapter 7 Required Contents of SOQ

7.0 Content of SOQ

This chapter describes the specific information that must be included in the SOQ. The requirements for each evaluation factor and the information to be submitted are listed and described in detail below. DESIGN-BUILD TEAMS shall be guided by these objectives.

DESIGN-BUILD TEAMS shall provide brief, concise information that addresses the objectives and the requirements of the RFQ consistent with the evaluation factors described in this chapter.

Required forms for the SOQ are contained in Appendix A.

- **7.1 Section Headings and Evaluation Factors:** The SOQs shall have seven sections, numbered and titled as follows:
 - Section 1: Cover letter
 - Section 2: Legal
 - Section 3: Financial
 - Section 4: Corporate Experience
 - Section 5: Corporate Performance
 - Section 6: Personnel
 - Section 7: Acknowledgements

7.2 Section 1: Cover Letter

- **7.2.1 Objective:** To identify each DESIGN-BUILD TEAM submitting an RFQ, to identify a single point of contact for each DESIGN-BUILD TEAM, and to provide certification of the accuracy of information provided in SOQ.
- **7.2.2** Requirements and information to be submitted: The DESIGN-BUILD TEAM shall provide a one-page letter identifying the official names and roles of all PRINCIPAL PARTICIPANTS, identifying a single point of contact for the DESIGN-BUILD TEAM and the address and telephone and fax numbers where questions should be directed, and certifying that the information in the SOQ is true and complete. The letter shall be signed by authorized representatives of the DESIGN-BUILD TEAM's organization. If the DESIGN-BUILD TEAM is not yet a legal entity or is a joint venture or partnership, the letter shall be signed by authorized representatives of all PRINCIPAL PARTICIPANTs.
- **7.2.3 Scoring:** A passing score will be given for submitting a one-page cover letter meeting the requirements above.

7.3 Section 2: Legal

7.3.1 Objective: To identify legally constituted DESIGN-BUILD TEAMS able to submit Proposals and enter into and complete traffic signal design-build contracts.

7.3.2 Requirements and information to be submitted:

- **7.3.2.1** Submit Form L for the DESIGN-BUILD TEAM's legal organization. If a joint venture or partnership:
 - a. Identity of the Lead PRINCIPAL PARTICIPANT of the joint venture, if any (Form L), AND
 - b. Indicate the percent share of each member, if known.; AND
 - c. Provide an express agreement of joint and several liability of each of the joint venture partners.
- **7.3.2.2.** Submit the following agreements and powers of attorney:
 - Submit notarized Power of Attorney for each PRINCIPAL PARTICIPANT indicating the authority of the PRINCIPAL PARTICIPANT's representative to sign for that PRINCIPAL PARTICIPANT; and
 - Submit notarized Power of Attorney from each PRINCIPAL PARTICIPANT indicating the authority of the DESIGN-BUILD TEAM's designated point of contact to sign documents for and on behalf of the DESIGN-BUILD TEAM's organization.

If a joint venture or partnership:

- If the DESIGN-BUILD TEAM has already been legally constituted, provide details of the corporate structure and supporting documents.
- If the DESIGN-BUILD TEAM has not yet been legally formed, provide a brief
 description of the proposed legal structure and a memorandum of agreement or
 teaming agreement.
- **7.3.3 Scoring:** DESIGN-BUILD TEAMS which fully complete Form L for all required firms on their DESIGN-BUILD TEAM, provide all required powers of attorney, and details of joint venture or partnership agreement with all the requirements described above, will receive a passing score for the legal requirement.

7.4 Section 3: Financial

7.4.1 Objective: To identify DESIGN-BUILD TEAMS with demonstrated capability to undertake the financial responsibilities associated with design-build traffic signal projects, including bonding.

7.4.2 Requirements and information to be submitted: The minimum bonding/security capacity levels for acceptance in the pool are as listed below in table 6.1.

Table 7.1

Selection	Proposal	Payment	Performance	Warranty	
Phase	Bond/	Bond/	Bond/	Bond/	
Filase	Security	Security	Security	Security	
For RFQ	\$50,000	\$1,000,000	\$1,000,000	\$200,000	
Purposes	\$30,000	\$1,000,000	\$1,000,000		
Final Bond	5% of	100% of	100% of	20% of	
Requirements	Proposal				
in RFP	Amount	Proposal Amount	Proposal Amount	Proposal Amount	

- 1. Provide a letter from a surety company indicating that the DESIGN-BUILDER is capable of obtaining Proposal, Payment, Performance, and Warranty Bonds covering the Design-build Contract at least to the dollar amounts stated above, for the row titled "For RFQ purposes".
- 2. The surety or insurance company submitting such letter must be from a surety company or companies licensed by the state of Utah and listed in the current United States Department of the Treasury Circular 570 as acceptable sureties for the bond amount on Federal Bonds.
- 3. Letters indicating "unlimited" bonding/security capability are not acceptable.
- **7.4.3 Scoring**: DESIGN-BUILD TEAMS that provide a letter from a surety company meeting the requirements described above, that states the surety company's commitment to issue bonds in the required amounts (table 7.1) will receive a passing score for the financial requirement.

7.5 Section 4: Corporate Experience

- **7.5.1 Objective:** To identify DESIGN-BUILD TEAMS with the best:
 - 1. Experience in the <u>construction</u> of traffic signal and illumination systems and the accompanying pavement, grading, drainage, curb, gutter, and sidewalk.
 - 2. Experience in <u>design</u> of traffic signal and illumination systems and the accompanying pavement, grading, drainage, curb, gutter, and sidewalk.
 - 3. Experience with design-build contracts.

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7.5.2 Requirements and information to be submitted: Using Form CE, provide up to ten project descriptions per each traffic signal designer, traffic signal constructor, civil designer, civil constructor, and right of way firm, highlighting experience in the last 10 years relevant to design-build traffic signal work and those that most closely meet the criteria listed above under objective. Describe those projects with levels of scope, and of a nature comparable to that anticipated for the Project. Highlight experience on design-build traffic signal projects.

7.5.3 Scoring:

- Experience in the construction of traffic signal and illumination systems and the accompanying pavement, grading, drainage, curb, gutter, and sidewalk: The maximum score will be achieved by a DESIGN-BUILD TEAM with at least ten years of experience in all of the above.
- Experience in Design of traffic signal and illumination systems and the accompanying pavement, grading, drainage, curb, gutter, and sidewalk: The maximum score will be achieved by a DESIGN-BUILD TEAM with at least ten years of design experience in all of the above.
- Experience with Design-build contracts in traffic signal and illumination systems and the accompanying pavement, grading, drainage, curb, gutter, and sidewalk: The maximum score will be achieved by DESIGN-BUILD TEAMS with 5 or more years of design-build experience in the design of traffic signal projects (and the associated illumination, pavement, grading, drainage, curb, gutter, sidewalk, channelization, and signing), and 5 or more years of design-build experience in construction of traffic signal projects (and the associated illumination, paving, grading, drainage, curb, gutter, sidewalk, channelization, and signing).

7.6 Section 5: Corporate Performance

7.6.1 Objective:

- 1. To identify DESIGN-BUILD TEAMS with superior records of completing contracts on time and within budget;
- 2. To identify DESIGN-BUILD TEAMS with records of managing contracts to minimize delays and litigation/arbitration;
- 3. To avoid DESIGN-BUILD TEAMS with firms or personnel with a history of legal and financial problems that could adversely impact the Project generally;
- 4. To identify DESIGN-BUILD TEAMS with good safety records.

7.6.2 Requirements and information to be submitted:

1. Using Form PP-1 (one for each firm that is a RESTRICTED PARTICIPANT), provide the information requested below. If the DESIGN-BUILD TEAM has no information relative to a category enter "N/A" on Form PP-1. Attach additional sheets to Form PP-1 as necessary. For each instance of litigation, arbitration, assessment of liquidated damages or termination for cause, provide the owner's name and the name of its current representative including current phone and fax numbers, who can be contacted for additional information:

- a. Awards, Citations and/or Commendations: List awards, citations and/or commendations for performance relevant to this Project received by any RESTRICTED PARTICIPANT, or Designer within the last 5 years. Describe the work for which award(s), citation(s) and/or commendation(s) were received. Copies of award(s), citation(s) and/or commendation(s) may be included in the SOQ. Include only awards, citations and/or commendations earned by office, division, branch, etc. proposed to work on this Project;
- b. Liquidated Damages: Describe any contract that resulted in assessment of liquidated damages against any RESTRICTED PARTICIPANT over the past 5 years. Describe the causes of the delays and the amounts assessed. Describe any outstanding damage claims by or damages due and owing to any owner/agency;
- c. Termination for Cause: Describe the conditions surrounding any contract (or portion thereof) entered into by any RESTRICTED PARTICIPANT, or Designer over the past 5 years that has been terminated for cause, or which required completion by another party. Describe the reasons for termination and the amounts involved; and
- d. Disciplinary Action: Indicate any disciplinary action taken against any RESTRICTED PARTICIPANT within the past 5 years, including suspension from the right to propose/bid or removal from any DESIGN-BUILD TEAM/bid list;
- 2. Safety: Submit Form S, Safety Questionnaire, for the Traffic Signal/electrical Contractor, the civil (roadway) Contractor and Construction Subcontractors who may perform 10% or more of the total construction as determined by dollar value of work.
- 3. Submit Form PP-2 for each RESTRICTED PARTICIPANT. If no response is required in an item, enter "N/A".

7.6.3 Scoring:

- Awards, Citations and/or Commendations: The maximum score will be awarded to the DESIGN-BUILD TEAM which, in the judgment of the UDOT evaluation committee, has the best record of awards for highest quality of design, construction, cooperation, and timely completion. Two points will be awarded to the second best Team, and one point will be awarded to all other teams. Teams with no record of such awards will be awarded zero points.
- <u>Liquidated Damages</u>: The maximum score of 10 points will be awarded to DESIGN-BUILD TEAMS with no RESTRICTED PARTICIPANTs having been assessed liquidated damages for timely completion on any project in the last five years. For those DESIGN-BUILD TEAMS whose RESTRICTED PARTICIPANTs have had LD's assessed in the last 5 years, the UDOT evaluation committee will make judgment on how the past project(s) may affect performance on this project and points will be deducted accordingly. UDOT's decision on point deductions will be based on information provided by the DESIGN-BUILD TEAMS and may also be based on communication with the owners of the projects where LD's were assessed.

- Termination for Cause: If any RESTRICTED PARTICIPANT has been terminated for cause in the last 5 years and it is determined that the termination was justified and it represents a significant risk on the part of the Department to award to such a DESIGN BUILD TEAM zero (0) points will be given for this section. UDOT also reserves the right to research the circumstances for the termination. The SOQ for the said DESIGN-BUILD TEAM may be removed from further consideration. Five points will be given to DESIGN-BUILD TEAMS whose RESTRICTED PARTICIPANTs have not been terminated for cause on any contract in the last five years.
- <u>Disciplinary Action</u>: If disciplinary action has been taken against any RESTRICTED PARTICIPANT by any state, city or federal government, for any project in the last 5 years, then the maximum of 5 points will not be awarded.
- <u>Safety</u>: The maximum score of 5 points will be awarded to the DESIGN-BUILD TEAM whose traffic signal/electrical contractor, civil (roadway) contractor and construction subcontractors who may perform 10% or more of the total construction as determined by dollar value of work, have an acceptable safety program and an OSHA Total Cases Injury Incident Rate (based on 200,000 work hours) of 0. DESIGN BUILD TEAMs whose Total Cases Injury Incident Rates are 10 or greater will receive zero points and may be removed from further consideration. DESIGN BUILD TEAMs who's Total Cases Injury Incident Rate is between 0 and 10 will receive a prorated score based on the maximum score of 5 points.

7.7 Section 6: Personnel

7.7.1 Objective: To identify DESIGN-BUILD TEAMS that will effectively manage all aspects of a design-build traffic signal project in a quality, timely and effective manner; and to identify DESIGN-BUILD TEAMS that will provide personnel to fill the key personnel positions who have the technical and management experience and expertise to plan, organize, successfully execute the design and construction of design-build traffic signal projects.

7.7.2 Requirements and information to be submitted:

- 1. Submit an organizational chart showing all of the key personnel who will be in the positions listed below and the organizational relationship between each position. The organizational chart should represent the Design-builders intent on how a project will be managed.
 - a. Project Manager
 - b. Construction Manager
 - c. Signal/Electrical Construction Manager
 - d. Signal/Electrical Design Manager
 - e. Civil Design Manager
 - f. Construction IQF Manager
 - g. Design IQF Manager
 - h. Community and Public Involvement and CSS Manager
 - i. Utilities Manager

- j. Right of Way Manager
- 2. Submit Form PM. If more than one key position is filled by the same person, so indicate. Provide two references for the Project Manager nominee and at least one reference for all other key personnel. Indicate the name, position, company or agency and current phone and fax numbers for each reference. References shall be owners or clients for whom the key personnel have worked within the past five (5) years and shall not be current or past employers of the key personnel; and
- 3. Submit resumes following Form R outlining key personnel experience and qualifications. Resumes shall be a minimum of two per page. Resumes should highlight the following information:
 - a. Proposed role on Project and experience in area of responsibility;
 - b. Experience in the management, design and/or construction of projects of similar nature to this Project
- **7.7.3 Scoring:** Point values for each position rated are as indicated on table 6.1. The maximum score for each position will be awarded for individuals who are deemed to be the highest possible caliber in the industry. A score of zero will be awarded for personnel deemed by UDOT to have no relevant experience. Scores between the maximum possible and zero will be prorated based on qualifications between the extremes.
- **7.8** Section 7: Acknowledgements
- **7.8.1 Objective:** To identify DESIGN-BUILD TEAMS who have all the required information to prepare their SOQ.
- **7.8.2 Acknowledgement requirement:** DESIGN-BUILD TEAM shall attach the <u>Acknowledgment Form</u> AF acknowledging receipt of the RFQ and any addendum and/or clarification notice issued by the Department.
- **7.8.3 Scoring:** The scoring of the acknowledgements will be based on the acknowledgement form. DESIGN-BUILD TEAMS who submit the Acknowledgement form acknowledging all clarifications and addendums published prior to the SOQ due date will receive a passing score. Any DESIGN-BUILD TEAM that does not acknowledge all clarifications and addendum will receive a score of Fail, and will not be considered for the Short list.

<u>Chapter 8</u> Abbreviations and Definitions

8.0 Abbreviations

Design-build Design-build DBE Disadvantaged Business Enterprise **FHWA** Federal Highway Administration, IA Independent Assurance Independent Quality Firm IOF QA **Quality Assurance** OC **Quality Control** RFP Request for Proposals **RFQ** Request for Qualifications **ROW** Right-of-Way SOQ Statement of Qualifications

8.1 Definitions

<u>Constructor</u> or <u>Construction Subcontractor</u> means any contractor or subcontractor (or affiliate) who is involved in the actual construction of the Project.

<u>Contract</u> means the written agreement that has been fully executed between the DEPARTMENT and the DESIGN-BUILDER that covers a Project.

<u>Construction independent quality firm</u> means the firm responsible for construction quality assurance and materials testing. This firm may be a member of the DESIGN BUILD TEAM's design team, but must be independent of any company or firm providing materials or construction services.

<u>Department</u> means the Utah Department of Transportation (UDOT).

<u>Design-build</u> means a project delivery method by which the owner contracts with a single entity that has responsibility for the design and construction of a project under a single contract.

<u>Design-builder</u> means the legal entity that holds the contract with UDOT. The Design-builder may be an individual, firm, partnership, corporation, joint venture, or combination thereof, submitting a Statement of Qualifications in response to this RFQ, and if selected for the Short-List, an entity that will be eligible to submit a Proposal on future design-build traffic signal projects.

<u>Design-build Team</u> means all firms and persons that will perform work on the design-build contract on behalf of the Design-builder, including the Design-builder, subcontractors, designers, suppliers, and agents.

Design independent quality firm means the firm or individual providing quality assurance reviews and checks of the design. This person(s) may be employed by the design firm performing the design, however they cannot be involved with the design except as a reviewer and checker.

Lead PRINCIPAL PARTICIPANT means the PRINCIPAL PARTICIPANT who has the Majority interest and/or responsibility in a partnership or joint venture and who is designated by the partnership or joint venture as having the lead responsibility for managing the DESIGN-BUILD TEAM's organization.

Proposal means those documents submitted by a DESIGN-BUILD TEAM to the Department in accordance with an RFP.

Principal Participant means any of the following entities:

- Any entity which comprises the DESIGN-BUILDER, including an individual firm, all general partners or joint venture members; and/or
- All Persons and legal entities holding (directly or indirectly) a 15% or greater interest in the DESIGN-BUILDER.

Quality Assurance (QA) means all those planned and systematic actions necessary to provide confidence that a product will perform satisfactorily in service. It involves the continued evaluation of the activities of design, development of plans and specifications, construction, and maintenance. Actions include, but are not limited to: design checks and reviews; inspection, including specification compliance reviews, document control and shop drawing review and approval; materials sampling and testing at production site and project site; inspection of manufacturing/processing facilities and equipment; inspection of on-site equipment, calibration of test equipment, acceptance or rejection of materials or work based on acceptance testing; and documentation of QA activities.

<u>Quality Control (QC)</u> means the total of all activities performed by Contractor, Designer, producer or manufacturer to ensure that a product meets Contract requirements. This includes design procedures and checking, materials handling and construction procedures, calibration and maintenance of equipment, shop drawing review, document control, production process control, and any sampling, testing, and inspection done for these purposes. QC also includes documentation of QC efforts.

Restricted Participant: A restricted participant is a firm or individual who is only allowed to be on one DESIGN-BUILD TEAM. Restricted Participants are defined as follows:

- The DESIGN-BUILDER and any firms or persons constituting the DESIGN-BUILDER.
- Any PRINCIPAL PARTICIPANT
- The entity or persons performing construction of the traffic signal system or electrical system.

- The entity or persons performing the design of the traffic signal system or electrical system.
- The entity or persons performing the design of the civil portions of the project.
- Any person or entity that may be involved in preparing the overall construction sequencing or the overall pricing of a PROPOSAL.

FORM L DESIGN BUILD TEAM'S ORGANIZATION INFORMATION

DESIGN-BUILD TEAM NAME: (Indicate Individual Firm / Joint Venture / Partnership/LLP or other entity that will hold the contract with UDOT)				
Name of Entity:				
Address:				
Contact Name:	Title:			
Telephone No.:	Fax No.:	E-mail:		
LOCAL CONTACT				
Name: Address:				
Address.				
Telephone No.:		E-mail:		
NAME (S) OF DB TEAM				
Company Name	Address/Phone & Fax	State of Incorporation	Percent Share	
	No.	incorporation		
Lead Principal				
Participant				
		_		
Principal Participant(s)				
Civil Design Firm				
		<u> </u>		
		_		
Sig/Elec Design Firm				
Sig/Lice Design 1 mm				
		_		
Right of Way Firm				
	1	1		

Form CE CORPORATE EXPERIENCE

Name of DB Team:					
Name of Firm:					
Project Role: Designer: Subcont	traator				
Other (Describe):					
Years of Experience:	Type of Experience:				
Traffic Signal Projects:	Design Construction				
Project Name, Location, Description and Nature of					
Froject Name, Location, Description and Nature of	work for which company was Responsible.				
N CON 10 CO					
Name of Client (Owner/Agency, Contractor, etc.)	:				
Address:					
Contact Name: Telephone: Fax No: Owner's Project or Contract No.: Percent of Total Work Performed:					
Contract Value (US\$): Final Value (US\$					
Start Date:Planned Completion Date:					
Any Litigation? Yes No					
Project Name, Location, Description and Nature of					
<u> </u>					
Name of Client (Owner/Agency, Contractor, etc.):	•				
A 11					
Address:Telephone:					
Owner's Project or Contract No.: Pero	cent of Total Work Performed:				
Contract Value (US\$): Final Value (US\$	5):				
Start Date:Planned Completion Date:	Actual Completion Date:				
Any Litigation? Yes No					

Form PP-1

Name of Design-Build Team:								
Firm Name: Awards, Citations and/o	or Com	mendation	ns				_	
Name of Awar			Year Rece	ived	Project &	Location	Work for which	Award, etc Received
Liquidated Damages								
Liquidated Damages						Dogovi	be Outstanding	Current Owner
Project Name	(Cause of D	elav(c)		Amount		e Claims by Any	Contact Name,
1 Toject Planie		bause of D	ciay (3)	Assessed			Owner	Phone & Fax Nos.
				- William		O WHEEL	Thome to Turi 1000	
Termination for Cause								
Project I		Describe Reason for Termination			on	\$ Amount Involved	Current Owner Contact Name, Phone & Fax Nos.	
								Thone & Fax Nos.
Disciplinary Action								
Project				De	scribe Action	Taken		Current Owner Contact Name, Phone & Fax Nos.

FORM PP-2 RESTRICTED PARTICIPANT CERTIFICATION

COMPLETE FOR EACH RESTRICTED PARTICIPANT

1.	Has the firm ¹ ever failed to complete any work it agreed to perform, or had a contract terminated because it was in default? If yes, describe.
2.	Has the firm* or any other officer thereof been indicted or convicted of bid or other contract related crimes or violations or any felony or serious misdemeanor within the past five years? If yes, describe.
3.	Has the firm* ever sought protection under any provision of any bankruptcy act? If yes, describe.
4.	Has the firm* ever been debarred or suspended from performing work for the federal government or any state or local government? If yes, describe.
	(Must be signed by an officer of the firm)
	Firm:
	By:
	TITLE:
	Name of Design-Build Team:

¹ (Note: "firm" includes any affiliate, including parent company or subsidiary companies.)

Form S

	esign-Build Team's Nam rm Name:					
1.	. Provide the following information:					
		Item		20	01	
	Employee hours worl	ked				
	(Do not include non-we					
	Number of lost worke	<u> </u>	ss Rate			
	Total Cases Injury In					
	Experience Modification	tion Rate on W	orkers Comp	o.		
	Number of fatalities					
2.	DO YOU HOLD SE How Often? Weekly					
3.	Do you conduct Pro	oject Safety Insp	pections?	Yes	No	_
	By Whom?					
	How Often?					
	Weekly Bi-Weekly Monthly					
	• • • • • • • • • • • • • • • • • •				_	
4.	Does the firm have a written Safety Program? Yes No					
5.	Does the firm hold safety meetings which extend to the laborer level?					
	Yes No					
	How Often? Daily Bi-Weekly Less Often, as needed				ded	
6.	For Design-Build Team only, indicate the safety record on the last Project to which the indicated key personnel were assigned:					
		Total hours	Number	Number of	Number of	Number
		worked by	of lost	restricted	cases with	of
	Key Person	all	workday	workday	medical	fatalities
		employees	cases on	cases on	attention only	On Duais at
ļ	Duoingt Manager	on Project	Project	Project	on Project	Project
	Project Manager Construction Manager					
	Construction Manager					
	Signal/Electrical					

Form PM Personnel Matrix

Position	Name	Percent of Time Committed to this Project	Education Registration Certifications	Length of Time with Current Employer	References
Project Manager					
Construction Manager					
Signal/Electrical Construction Manager					
Signal/Electrical Design Manager					
Civil Design Manager					
Construction IQF Manager					
Design IQF Manager					
Community and Public Involvement and CSS Manager					
Utilities Manager					
Right of Way Manager					

FORM R
NAME
POSITION
RELEVANT EXPERIENCE
NAME
POSITION
RELEVANT EXPERIENCE

FORM AF ACKNOWLEDGMENT FORM

ACKNOWLEDGMENT OF RECEIPT OF

RFQ, ADDENDA AND CLARIFICATION NOTICES

(To be attached to SOQ Cover Letter)

	(Name of D	B Team)
	nd subsequent addenda and	fic Signal Design-Build Project Request for clarification notices, issued by the Utah
Addendum No.		Date Issued
		
		
Clarification N	otice No.	Date Issued
		
		
(Signed)	(Date)	
(Printed or Typed N	Name)	
(Title)		